

0574036 12000

Utility

Patent Application

Transmittal

Attorney Docket No. 7056.0

First Inventor or Application Identifier:

George H. Butcher, III

Title: A Method, Software Program, and System for Isolating Risk in a Financial Transaction

Express Mail Label-EJ450646447

~~Old 1511-03908~~

09/724039

11/28/00

**[X] STATEMENT PURSUANT TO 35 U.S.C § 122 (b)(2)(B)(i)-(iii) AND 37 CFR § 1.21
DO NOT PUBLISH APPLICATION**

APPLICATION ELEMENTS

See MPEP chapter 6000 concerning utility patent application contents.

**ADDRESS TO: Assistant Commissioner for
Patents
Box Patent Application
Washington, DC 20231**

1. [X] *Fee Transmittal Form(e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. [X] Specification [Total pages 25]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

3. [
- X**
-] Drawing(s) (35 U.S.C. 113) [Total Sheets
- 9
-]

- #### 4. Oath or Declaration

- a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application
(37 C.F.R. §1.63(d)) (for continuation/divisional with
box 16 completed)

- i. [] DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§1.63(d)(2) and 1.33(b).

5. [] Microfiche Computer Program (*Appendix*)

- 6. Nucleotide and/or Amino Acid Sequence Submission** *(if applicable, all necessary)*

- a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 7 [] Assignment Papers (cover sheet & documents)
- 8 [] 37 CFR §3.73(b) Statement [] POA
(When there is an assignee)
- 9 [] English Translation Document (if applicable)
- 10 [] Information Disclosure [] copies of IDS
Statement citations
- 11 [] Preliminary Amendment
- 12 [**X**] Return Receipt Postcard
(Should be specifically itemized)
- 13 [] **SMALL ENTITY STATUS**
- 14 [] Certified copies of priority document(s)
(If foreign priority is claimed)

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior Application No. _____

Prior application information:

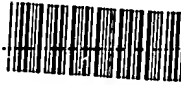
Examiner

Group / Art Unit:

CORRESPONDENCE ADDRESS

[] Customer Number or Bar Code Label

or [X] Correspondence address below



(Insert Customer No. or Attach bar code label here)

23346

PATENT TRADEMARK OFFICE

Name	Barry J. Schindler					
Address	499 Park Avenue					
City	New York	State	NY	Zip Code	10022	
Country	USA	Telephone	(212) 328-6135	Fax	(212) 328-6101	
Name (print/type)	Barry J. Schindler			Registration No. (Attorney/Agent)		32,938
Signature				Date	November 28, 2000	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

00321" 6E042260

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): George H. Butcher, III
SERIAL NO.: To Be Assigned
FILED: November 28, 2000
ATTY. DOCKET: 7056.005
TITLE: **A METHOD, SOFTWARE PROGRAM, AND SYSTEM FOR
ISOLATING RISK IN A FINANCIAL TRANSACTION**



EXPRESS MAIL CERTIFICATE

Express Mail Label No. Ej450646447-US

Date of Deposit: November 28, 2000

I hereby certify that the following attached paper(s) and/or fee

- (1) Utility Patent Application Transmittal;
- (2) Fee Calculation Sheet;
- (3) An Unexecuted Declaration and Power of Attorney for Patent Application;
- (4) Patent Application (comprised of 25 pages, 15 pages of specification, 9 pages of claims, and 1 abstract and 9 pages of figures);
- (5) A Credit Card Payment Form;
- (6) A self-addressed stamped postcard, return of which is requested to acknowledge receipt of the enclosed documents.

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. Section 1.10 on the date indicated above and is addressed to the "Assistant Commissioner for Patents, Box New Patent Applications, Washington, D.C. 20231"

Respectfully submitted,
DREIER & BARITZ, LLP.


Paula M. Maleh

Dated: November 28, 2000

CORRESPONDENCE:

DREIER & BARITZ, LLP..
499 Park Avenue, 20th Floor
New York, New York 10022
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FEE TRANSMITTAL**for FY 2001**

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small
entity statement, otherwise large entity fees must be
paid. See Forms PTO/SB/09-12.

Complete if Known

Application Number To Be Assigned

Filing Date Herewith

First Named Inventor **George H. Butcher, III**

Examiner Name To Be Assigned

Group / Art Unit To Be Assigned

Attorney Docket No. **7056.005**JCS 58 U.S. PTO
09/24/03

11/28/00

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated
fees and credit any over payment to:

Deposit Account No. _____

Deposit Account Name _____

2. ☐ Charge Any Additional

Fee Required Under

37 CFR 1.16 and 1.17

2. ☒ Payment Enclosed:

☐ Check ☐ Money Order ☒ Other (Credit Card Payment form)

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)				
101	710	201	355	Utility filing fee	\$710.00
106	310	206	160	Design filing fee	
107	480	207	245	Plant filing fee	
108	760	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					\$710.00

2. EXTRA CLAIM FEES

Total Claims	Extra claims	Fee from below	Fee Paid
Independent	19	-20** =	0
Claims	5	-3** =	160
Multiple			
Dependent			160

Large	Entity	Small	Entity	Fee Description
Fee	Fee	Fee	Fee	
Code	\$	Code	\$	
106	18	203	9	Claims over 20
102	80	202	40	Independent Claims in Excess of 3
104	270	204	135	Multiple Dependent Claims
109	80	209	40	**Reissue Independent Claims
110	18	210	9	Reissue Claims in Excess of 20

SUBTOTAL **160****FEE CALCULATION****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)				
105	130	205	65	Surcharge-late filing fee or oath	
127	50	227	25	Surcharge-late prov	
				provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR	
				prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR	
				after to Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,850	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	300	220	155	Filing a brief in support of an appeal	
121	260	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceedings	
140	110	240	55	Petition to revive-unavoidable	
141	1,210	241	620	Petition to revive- unintentional	
142	1,210	242	620	Utility issue fee (or reissue)	
143	430	243	220	Design issue fee	
144	580	244	300	Plant issue fee	
122	130	122	130	Petition to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	50	Recording each patent assignment per	
				Property (times number of properties)	
146	760	246	380	Filing a submission after final rejection	
				(37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be	
				examined (37 CFR 1.129(a))	
179	710	279	355	Request for Continued Examination (RCE)	

Other fee (specify) _____

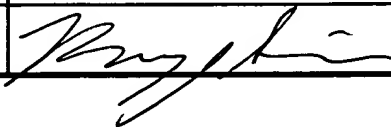
Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL \$ _____

TOTAL AMOUNT \$870.00**SUBMITTED BY**Typed or
Printed Name**Barry J. Schindler**

Signature



Date

November 28, 2000**Complete (if applicable)**

Reg. Number

32,938Deposit Account
User ID